Abridged Project Management Procedures

Environmental Protection Agency
Office of Enterprise Technology and Innovation (OETI)

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Document Change History

Version	Date	Author	Description of Changes

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1. Procedure Development Guide OETI-PMP-01

This section defines the process by which the Environmental Protection Agency (EPA)'s Office of Enterprise Technology and Innovation (OETI) project management (PM) procedures are developed or modified, reviewed, and finalized. This document incorporates industry best practices, EPA policies, and Project Management Institute (PMI) standards for project management.

1.1 Process Flow Diagram

Figure 1-1 shows the process for creating or modifying a PM procedure. This figure represents the procedure development activities to be performed by OETI staff.

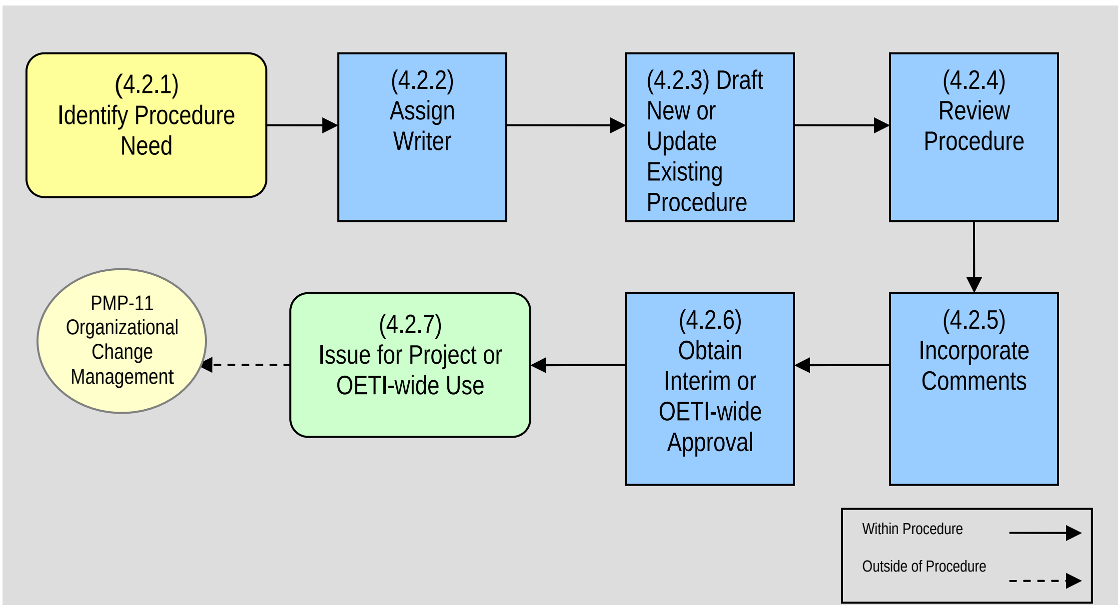

Figure 1-1. PM Procedure Development Process

1.2 Checklist for Procedure Development

The following provides a checklist for the key activities associated with each step of this project closure procedure.

Activities	Responsible Parties
4.2.1 Identify Procedure Need	
❑ Request made to develop a new or modify an existing procedure for managing a project with a description of the need, possible role suggestions, and whether the request is in response to an EPA or government-wide requirement	Procedure Requestor (Project Manager, Project Team Lead, or project team member)
❑ Request submitted via email or in a written statement to the Project Manager for agreement or rejection	Procedure Requestor
❑ Decision made to move forward with procedure via email or in a written statement	Project Manager
4.2.2 Assign Writer	

Activities	Responsible Parties
❑ Writer assigned	Project Manager
4.2.3 Draft New or Update Existing Procedure	
❑ The Introduction section with Background and Purpose subsections completed ❑ The Approach section with Assumptions (if applicable), Scalability, and Best Practices (if applicable) completed ❑ The Best Practices section completed with enough information to ensure that the user can find the full reference if desired ❑ The Roles and Responsibilities section included and all roles identified in the procedure included in the Roles and Responsibilities table ❑ The Procedure section completed ❑ A process flow diagram included in the Procedure section ❑ The steps of the procedure detailed in the Procedure section and matched to the process flow diagram ❑ The steps of the procedure completed ❑ The Consideration section (if applicable) completed ❑ An acronyms table included in Appendix A ❑ All acronyms used in the document included in the acronyms table ❑ Appendix B checklist for the procedure provided ❑ Appendix C additional resources provided ❑ Appendix D interface requirements provided (if applicable) ❑ All formatting for the document checked for accuracy and consistency with the template ❑ The Table of Contents updated (F9)	Writer
4.2.4 Review Procedures	
❑ Reviewers with sufficient expertise in the subject matter selected ❑ Review completed.	Planning and Evaluation Team Lead
4.2.6 Obtain Interim or OETI-wide Approval	
❑ Appropriate reviews incorporated	Writer
❑ Procedure approved	Project Manager or OETI Director
4.2.7 Issue for Project or OETI-wide Use	
❑ Procedure issued to the appropriate audience via email ❑ Procedure forwarded to the Document Coordinator for upload to the repository.	Project Manager
❑ Procedure posted on the OCFO intranet	Communications Lead

2. Project Initiation and Planning Procedure OETI-PMP-02

This section defines the process by which staff within the EPA's OETI performs project initiation and planning activities.

2.1 Process Flow Diagram

Figure 2-1, presented on the next page, identifies the process for project initiation and planning for a new project. The process originates with an idea that is typically generated by an organizational need or requirement. Initiation activities begin when the project is sponsored within the organization. The level of sponsorship needed is driven by the magnitude of the initial requirement. The Project Requestor then completes the activities required to receive formal approval and funding, depending on the size and complexity of the project. Project planning typically overlaps with initiation activities for OETI projects due to the documentation required to obtain external approval. Planning, however, occurs over the life of the project and provides the foundation for all other project activities. This figure represents the project initiation and planning activities to be performed by OETI staff.

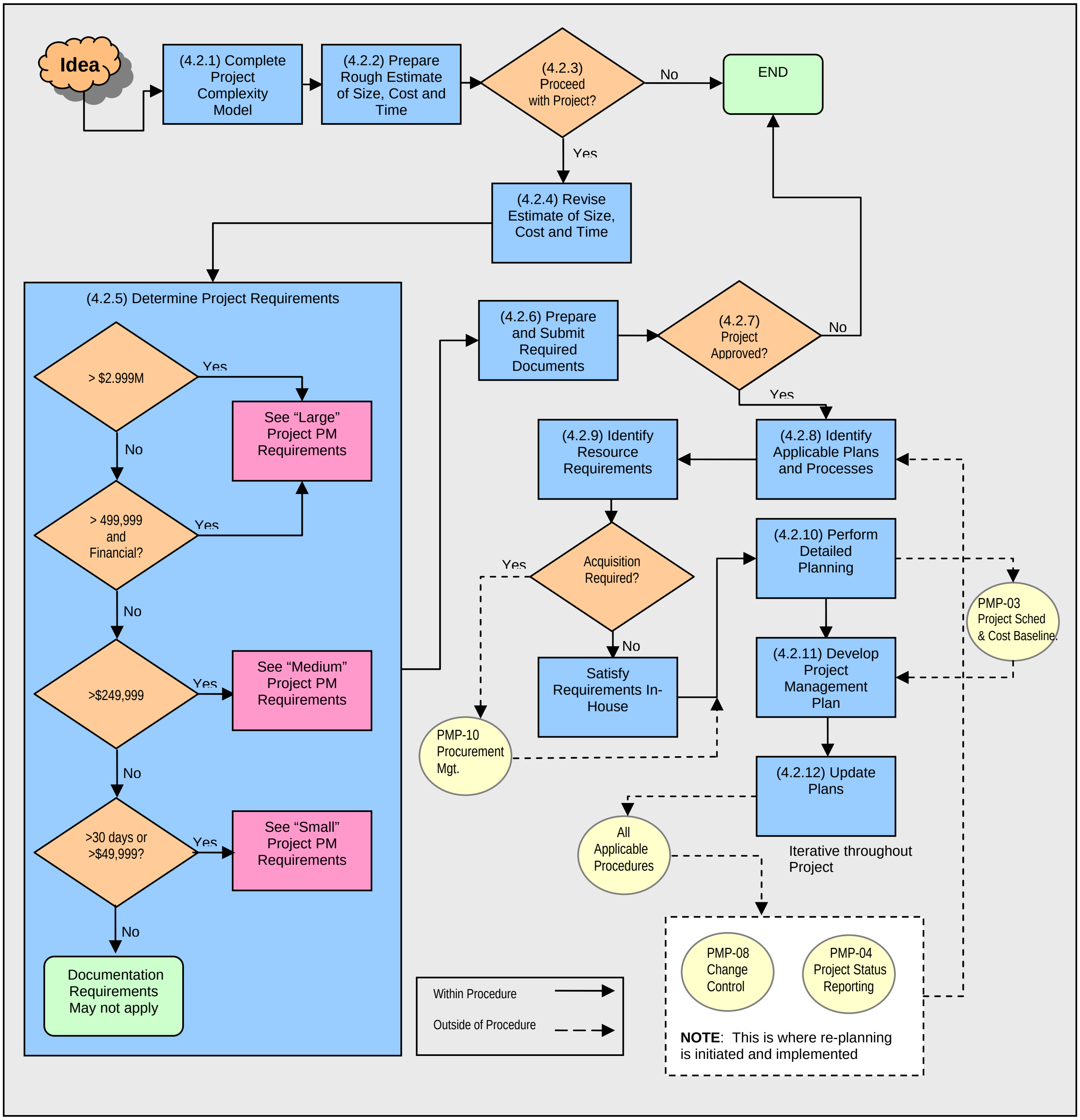

Figure 2-1. Project Initiation and Planning Process

2.2 Checklist for Project Initiation and Planning Activities

The following table provides a checklist for the key activities associated with each step of this project initiation and planning procedure.

Activities	Responsible Parties
4.2.1 Complete Project Complexity Model	

Activities	Responsible Parties
☐ Basic project variables relative to estimated cost, time, and complexity understood	Project Requestor
☐ Project Complexity Model completed and model rating received and perceived as reasonable	Project Requestor
☐ Additional analysis performed (as required) to better understand or mitigate areas of significant uncertainty	Project Requestor
4.2.2 Prepare Rough Estimate of Size, Cost, and Time	
☐ Rough order of magnitude (ROM) cost estimate completed using experience or actuals from similar efforts	Project Requestor
☐ Approximate number of resources required to complete effort is documented	Project Requestor
☐ Approximate amount of time needed to complete effort defined and documented (in months)	Project Requestor
☐ Supporting documentation for project known/defined (business need, goals and objectives, initial business case, cost/benefit, as applicable	Project Requestor
4.2.4 Revise Estimate of Size, Cost, and Time	
☐ Approval to proceed with project obtained	Project Requestor/Project Manager
☐ The Project Manager assigned	Project Sponsor
☐ Enough information obtained to refine estimate ☐ Cost estimating tool selected and available, if needed ☐ Method for estimating defined ☐ Assumptions for estimate documented ☐ Resources or estimates from similar efforts consulted ☐ Vendor estimates submitted, if applicable ☐ Estimate reviewed and approved	Project Manager/Estimator
4.2.5 Determine Project Requirements	
☐ Project resource requirements reviewed relative to available resources	Project Manager
☐ A decision made as to whether outside products or services are needed to execute the project	Project Manager
☐ Available resources assigned to open roles based on skill matches	Project Manager
☐ If applicable, a procurement action initiated to procure the desired product or services	Project Manager
4.2.6 Prepare and Submit Required Documents	
☐ For large, complex projects – CPIC completed	Project Manager
☐ For medium projects – CPIC Lite completed	Project Manager
☐ For large and medium projects, documentation prepared for approval by the Investment Subcommittee	Project Manager
☐ For large and medium system projects, OEI SLCM documentation completed	Project Manager

□ For all projects, an initial project schedule completed	Project Manager
4.2.8 Identify Applicable Plans and Processes	
□ Final project approval received	Project Manager
□ Project documentation and unique project requirements evaluated to determine which processes should be implemented for the project, and to what extent	Project Manager/Planning Team
□ Decisions documented for incorporation into the PMP (SMP for systems projects)	Project Manager/ Planning Team
4.2.9 Identify Resource Requirements	
□ Available resources within the organization known and evaluated to determine “fit” to open project roles	Project Manager/Planning Team
□ Need to procure outside resources to fulfill project requirements evaluated	Project Manager/Planning Team
□ If applicable, procurement process initiated per *PMP-10 Procurement Management Procedure*	Project Manager/Planning Team
4.2.10 Perform Detailed Planning	
Detailed planning activities occur for the project where the team defines the “how” for project execution	Project Manager/Project Team Leads
4.2.11 Develop Project Management Plan	
□ Responsibility for development of the PMP (SMP for a system project) assigned by the Project Manager	Project Manager
□ Project planning decisions documented in the PMP (SMP for a system project)	Project Manager/Project Team Leads
□ Development of subsidiary project plans assigned as resources become available	Project Manager
□ PMP (SMP for a system project) viewed and approved	Project Manager/Project Sponsor (as required)
4.2.12 Update Plans	
□ Process and responsibility for updating the PMP (SMP for a system project) and all subsidiary plans defined	Project Manager
□ Plans continually updated to reflect changes and addition to the project as they occur over the life of the project	Project Manager/Project Team Leads
□ Test, inspection, and acceptance performed in accordance with contract and framework established above (if required under the contract)	DO/TO/WA COR or Contract-Level COR

3. Project Schedule and Cost Baseline Procedure OETI-PMP-03

This section defines the process by which staff within the EPA's OETI performs project schedule and cost baseline activities.

3.1 Process Flow Diagram

Figure 3-1 illustrates the process for the project schedule and cost baseline procedure and the activities to be performed.

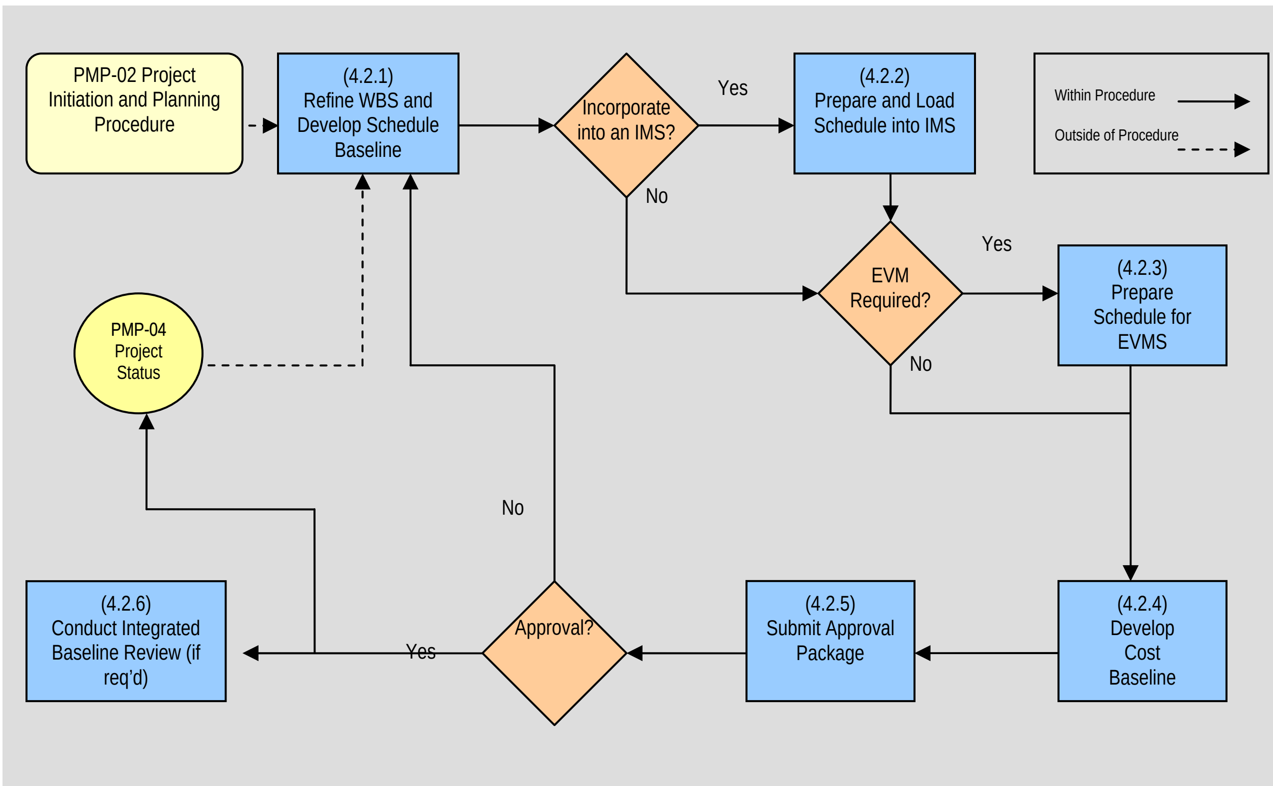

Figure 3-1. Project Schedule and Cost Baseline Process

3.2 Checklist for Preparing a Project Schedule and Cost Baseline

The following provides a checklist for the key activities associated with each step of this project schedule and cost baseline procedure.

Activities	Responsible Parties
4.2.1 Refine WBS and Develop Schedule Baseline	
❑ WBS is refined to meet the following requirements: 1. Prepared using PMI's PMBOK Guide as a framework 2. Contains a WBS dictionary 3. Structured to contain all work elements (scope) 4. Structured to support cost estimation	Project Team Lead

Activities	Responsible Parties
5. Structured to levels that satisfy status reporting, including schedule, costs, resource, and performance, and if required, EV metrics 6. Structured to levels that identify all work activity in the way that it is planned to be performed ❑ Integrated schedule is submitted	
❑ Schedule of activities is developed ❑ Milestone list is developed ❑ Activities are sequenced by identifying dependencies (internal and external) ❑ The durations of activities are estimated using historical data (e.g., past project schedules, lessons learned, known constraints), and expert judgment ❑ The calendar with the appropriate holidays breaks is used appropriately for each activity ❑ Critical path(s) is established ❑ Resources are assigned to the activities ❑ Resource leveling is applied	CAM, Schedule/EV Coordinator
❑ Project schedule is reviewed to ensure that it includes all applicable planning documents and includes: 7. All contract deliverables are in the schedule 8. A proposed timeline is supported by dependent activities 9. An approach to the work, codified in the schedule, is workable at EPA (i.e., is there sufficient time for building consensus, appropriate reviews, etc.) 10. Activities are linked 11. Schedule is properly formatted 12. Resources are not over booked or under booked ❑ Activities are short enough in duration and/or milestones sufficiently close together that the status process will provide insight into project progress	CAM, Project Team Lead
❑ Project schedule reviewed and approved	Project Manager
4.2.2 Prepare and Load Schedule into IMS	
❑ New material in the IMS reviewed for dependencies with project's activities, necessary changes or additions made are communicated to the Schedule/EV Coordinator	CAM, Schedule/EV Coordinator
❑ Schedule is prepared for incorporation into the IMS, including summary tasks, milestones, and EPA activities ❑ Schedule is loaded into IMS and all external dependencies established ❑ All activities within a task or within the project are sequenced ❑ The dependencies and relationships between each of the tasks and	Schedule/EV Coordinator

Activities	Responsible Parties
activities are defined ❑ Message is sent to all Project Managers that the IMS has been updated ❑ IMS updated based upon feedback and direction from CAM	
❑ Updated IMS reviewed and any changes provided to Schedule/EV Coordinator ❑ Modifications as a result of external dependencies reviewed and accepted	Project Team Lead, CAM
4.2.3 Prepare Schedule for EVMS	
❑ Control accounts are established according to EV standards and within requirements of the EV tool ❑ Control accounts are decomposed into work packages and EV techniques are assigned	CAM, Schedule/EV Coordinator
❑ The schedule reserved fields are populated as required ❑ Schedule "properties", such as Status Date and Project Start Date, etc., are populated as required	Schedule/EV Coordinator
❑ Baselined schedule is reviewed and approved	Project Team Lead (if applicable) and Project Manager
4.2.4 Develop Cost Baseline	
❑ Cost estimate is developed including EPA costs and contractor costs (if applicable) ❑ Costs are within the budget developed in the planning process ❑ Labor and other direct costs (ODCs) are included in cost baseline ❑ Cost baseline, including contractor activities, is reviewed: 13. Does the PV by month seem reasonable? 14. Is it overly front- or back-loaded? 15. Are there peaks and valleys where expected? 16. Are all authorized funds baselined? 17. Is the resource loading methodology reasonable? 18. Is there reasonable use of performance measures?	CAM
❑ Correct baseline costs are captured in the EV tool	Schedule/EV Coordinator, CAM
4.2.5 Submit Approval Package	
❑ Schedule and cost baseline package is prepared and submitted for review	CAM
❑ Cost and schedule baselines are reviewed and approved or feedback provided	Project Team Lead (if applicable), Project Manager
❑ Necessary revisions to the baselines are made	CAM, Schedule/EV Coordinator

Activities	Responsible Parties
❑ Project schedule is baselined; new portion of the IMS is baselined	Schedule/EV Coordinator
4.2.6 Conduct Integrated Baseline Review (if Required)	
❑ Performance Measurement Baseline is established and other required documentation is submitted	Contractor
❑ Ensure IBR is conducted within 45 days to six months of contract award	Project Manager
❑ IBR preparation activities are performed ❑ PMB is accessed ❑ Results of the assessment are documented ❑ IBR out brief is conducted	Project Manager, Project Team Lead, CAM
❑ All identified risks and issues are captured and communicated for tracking and monitoring purposes according to relevant procedures	Project Manager

4. Project Status, Reporting, and Forecasting Procedure OETI-PMP-04

This section defines the process by which staff within the EPA's OETI performs project status, reporting, and forecasting activities.

4.1 Process Flow Diagram

Figure 4-1 depicts the process for project status, reporting, and forecasting and the activities to be performed.

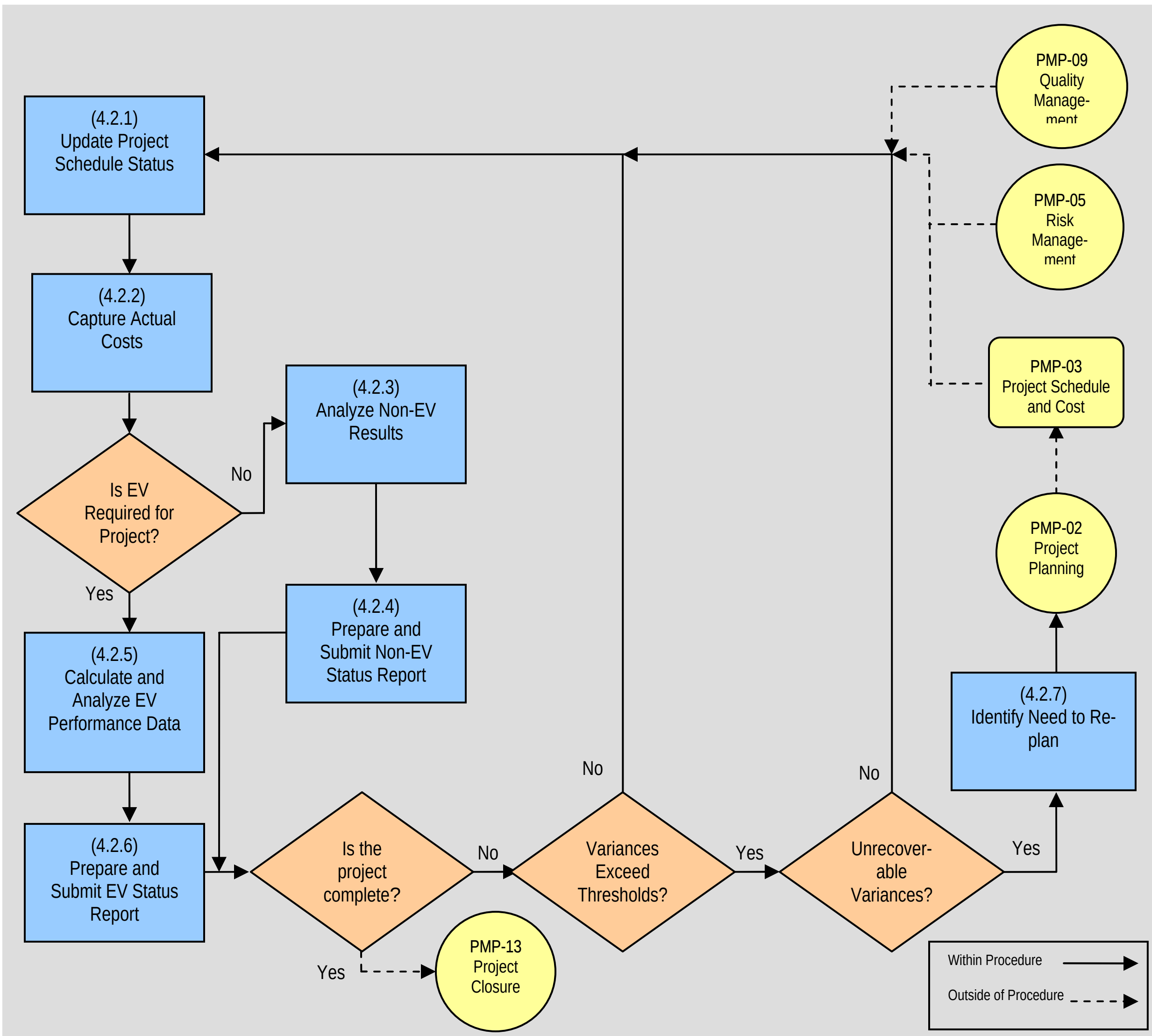

Figure 4-1. Project Status, Reporting, and Forecasting Process

4.2 Checklist for Project Status, Reporting, and Forecasting

The following provides a checklist for the key activities associated with each step of this status, reporting, and forecasting procedure.

Activities	Responsible Parties
4.2.1 Update Project Schedule Status	
❑ Activities planned to start or finish in the reporting period (the previous calendar month) are updated ❑ Adjustments to the schedule are made (e.g., add dependencies, change duration, add a new task, etc.) ❑ Contractor schedule submitted is checked to ensure that all activities planned for the period are updated	CAM Schedule/EV Coordinator
❑ Need Status Report is issued	Schedule/EV Coordinator
4.2.2 Capture Actual Costs	
❑ Timesheets are provided to Schedule/EV Coordinator ❑ Current month estimate and prior month reported actual contractor costs are provided to Schedule/EV Coordinator, if applicable	CAM COR (if applicable)
❑ Actual cost data is consolidated and prepared for analysis (EPA and contractor cost data as applicable)	Schedule/EV Coordinator
4.2.3 Analyze Non-EV Results	
❑ Updated schedule is distributed to CAM ❑ Project budget and actual costs are distributed to CAM	Schedule/EV Coordinator
❑ Schedule information is reviewed and understood ❑ Analysis is performed on project budget and actual costs ❑ Corrections are provided to Schedule/EV Coordinator	CAM
4.2.4 Prepare and Submit Non-EV Status Report	
❑ Status report template is populated with status information ❑ Source data (e.g., project schedules, project budget, actual costs, preliminary status report) is provided to the CAM	Schedule/EV Coordinator
❑ Issues, risks and quality assurance results are managed and reported throughout the reporting period as well as on the status report ❑ Status report is populated with risks and issues analysis and budget vs. actual costs variance explanations ❑ Status report is distributed to Project Team Lead (if applicable), Project Manager and Project Evaluation Team Lead	CAM
❑ Status report updates are summarized in the dashboard report and submitted to system or project sponsor after Project Manager approves the report	Planning and Evaluation Team Lead
❑ Project status report is reviewed and accepted	Project Team Lead (if applicable) Project Manager
❑ Dashboard report is reviewed and approved	Project Manager
4.2.5 Calculate and Analyze EV Performance Data	
❑ Updated schedule is distributed to CAM	Schedule/EV Coordinator

Activities	Responsible Parties
❑ Monthly EV metrics are produced ❑ Reports and other information (e.g., updated schedule, EV reports) are compiled and distributed to CAMs	
❑ Analysis is performed on EV metrics ❑ Corrections are provided to Schedule/EV Coordinator	CAM
4.2.6 Prepare and Submit EV Status Report	
❑ Status template is populated with status information, including corrections ❑ Source data (e.g., project schedule, EV metrics, relevant EV reports, preliminary status report) is sent to CAM	Schedule/EV Coordinator
❑ Issues, risks and quality assurance results are managed according their respective procedures throughout the reporting period as well as on the status report ❑ Status report is populated with risks and issues analysis, basic EV analysis, and variance analysis ❑ Status report is distributed to Project Team Lead (if applicable), Project Manager and Project Evaluation Team Lead	CAM
❑ Status report updates are summarized in the dashboard report and submitted to OCFO after Project Manager approves the report ❑ Related OCFO program status reports for OMB compiled and submitted, as required	Planning and Evaluation Team Lead
❑ Project status report is reviewed and approved	Project Team Lead (if applicable) Project Manager
❑ Dashboard report is reviewed, approved, and sent to system or project sponsor	Project Manager
4.2.7 Identify Need to Re-plan	
❑ Variances are examined to determine if they exceed the reporting threshold	CAM Project Team Lead (if applicable) Schedule/EV Coordinator
❑ Variances are examined to determine if they are unrecoverable	Project Manager Project Team Lead (if applicable) CAM
❑ Prepares a CR requesting a formal re-plan, if necessary	Project Team Lead (if applicable) CAM
❑ Approves submission of CR requesting a formal re-plan, if necessary	Project Manager
❑ Submits CR requesting a formal re-plan, if necessary	Project Team Lead

5. Risk Management Procedure Guide OETI-PMP-05

This section defines the process by which staff within the EPA's OETI performs risk management activities.

5.1 Process Flow Diagram

Figure 5-1 identifies the process for risk management.

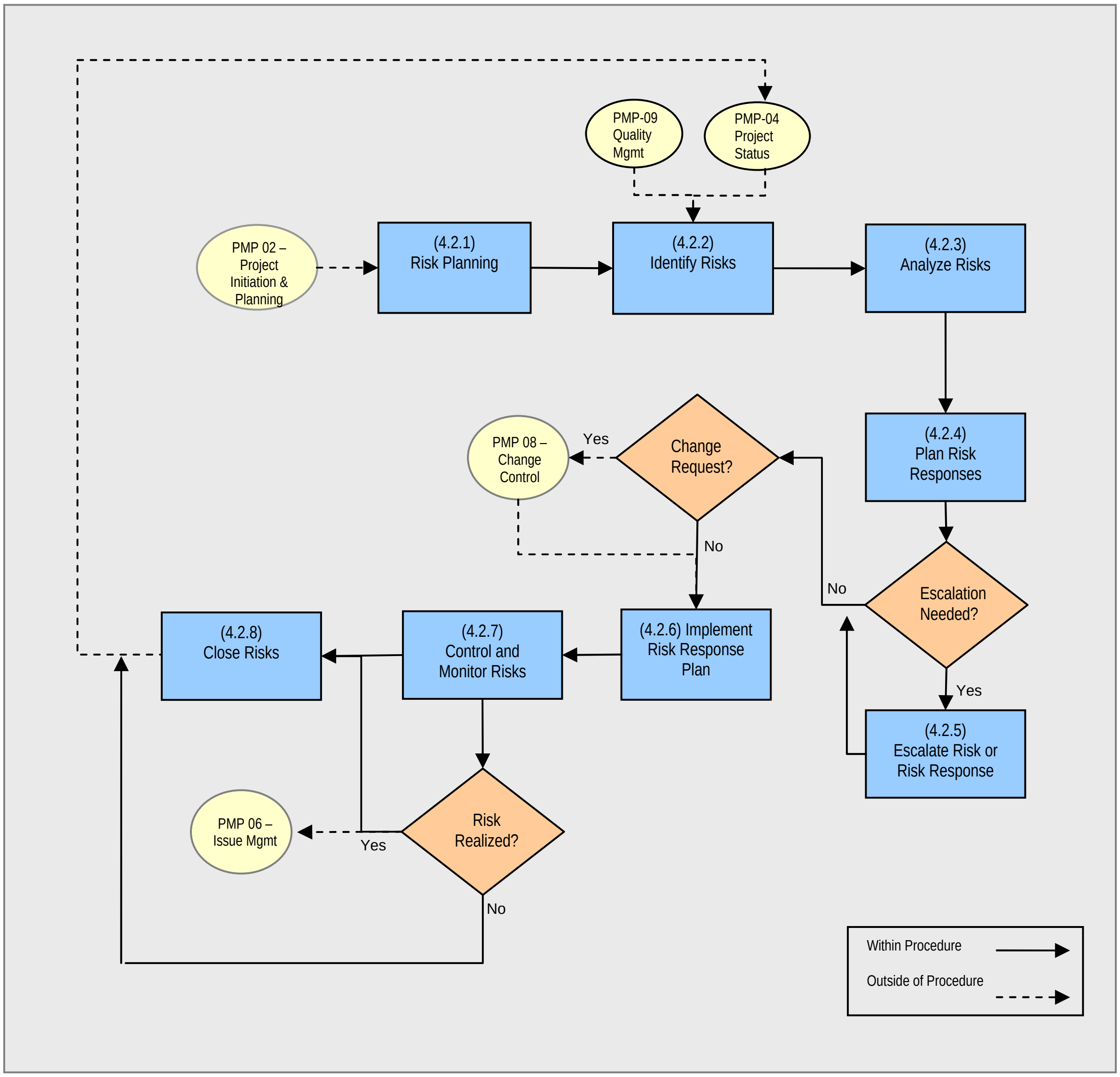

Figure 5-1. Risk Management Process

5.2 Checklist for Risk Management Procedure

The following provides a checklist for the key activities associated with each step of this document management procedure.

Activity	Responsible Parties
4.2.1 Risk Planning	
❑ Risk planning is performed	Project Manager, Project Team Leads
❑ Risk Coordinator is assigned	Project Manager
❑ Risk Management Plan is completed	Risk Coordinator, Project Manager
❑ Risk Management Committee participants are determined (if applicable)	Project Sponsor, Project Manager, Project Team Leads
❑ Risk management activities are reflected in the project schedule and resources are assigned	Project Manager, Project Team Leads
❑ Risk tracking tools, metrics, forms, and reports are determined (as applicable)	Risk Coordinator
4.2.2 Identify Risks	
❑ Lessons learned from previous projects and experiences are considered to provide valuable insights for identifying potential risks	Risk Coordinator, Project Manager
❑ Risk Reporting Forms are used by project team members for each new risk identified ❑ Risk Log is populated with initial information about new risks	Risk Coordinator
❑ A project risk meeting is conducted during the early stage of the project, facilitating the identification of an initial list of project risks	Risk Coordinator, Project Manager, Project Team Members
4.2.3 Analyze Risks	
❑ Impact rating is assigned for all identified risks ❑ Probability rating is assigned for all identified risks ❑ Severity score is calculated and a risk classification determined for each identified risk ❑ Risk priority is determined ❑ All ratings, severity scores, and priorities are recorded in the Risk Log	Risk Coordinator, Risk Management Committee
4.2.4 Plan Risk Responses	
❑ Appropriate risk response strategy is evaluated within the context of the project constraints ❑ Risk response strategies for red risks are prioritized and addressed first ❑ Risk response actions are assigned	Project Manager, Risk Management Committee, Risk Owner(s)
❑ Mitigation plan is developed for each risk (if applicable) ❑ Contingency plan is developed for each risk (if applicable)	Project Manager, Risk Management Committee, Risk Owner(s)
❑ Response plan is analyzed to determine whether a Change Request (CR) is required	Project Manager, Risk Management Committee, Risk Owner(s)
❑ Risk and associated CR are analyzed to determine if other residual or secondary risks are introduced as a byproduct of the proposed CR	Project Manager, Risk Coordinator, Risk Management Committee
❑ WBS is updated as needed to represent risk response activities	Project Manager, Project Team Leads

❑ Risk response strategies and plans are documented in the Risk Log	Risk Coordinator
4.2.5 Escalate Risk or Risk Response	
❑ Escalation actions are determined, as applicable	Risk Management Committee, Project Manager
❑ Escalation actions are documented in the Risk Log	Risk Coordinator
❑ Actions are escalated and the outcomes are documented in the Risk Log	Risk Management Committee, Project Manager, Risk Coordinator
4.2.6 Implement Risk Response Plan	
❑ Risk response plans are implemented	Risk Owner
4.2.7 Monitor and Control Risks	
❑ Risk Management Report is prepared for regular status activities	Risk Coordinator
❑ Status of risk is communicated during status activities	Risk Owner
❑ Risk response re-planning is performed as required ❑ Alternate risk response strategy for risk is determined (as applicable)	Risk Owner, Risk Coordinator, Project Manager, Risk Management Committee
❑ Risk status changes and updates are recorded in Risk Log	Risk Coordinator
4.2.8 Close Risks	
❑ Risks proposed for closure (marked as in the Final stage) are reviewed ❑ Justifications for closing risks are approved ❑ Any associated risks that have been created as a byproduct of closing the risk(s) are determined	Risk Owner, Risk Management Committee, Project Manager
❑ Risk is recorded as closed in the Risk Log, to include accompanying justification	Risk Coordinator

6. Issue Management Procedure OETI-PMP-06

This section defines the process by which staff within the EPA's OETI issue management activities.

6.1 Process Flow Diagram

Figure 6-1 depicts the process for issue management and the activities to be performed. This process originates with defining the implementation of the issue management process as described in *PMP-02 Project Initiation and Planning Procedure*. This process may also be triggered by risks that are realized and become issues as described in *PMP-05 Risk Management Procedure*. The identification of issues in the course of project statusing activities as described in *PMP-04 Project Statusing, Reporting and Forecasting Procedure* or quality assurance activities as described in *PMP-09 Quality Management Procedure* can also trigger the process. The process continues from issue identification through the implementation of resolution actions and issue closure.

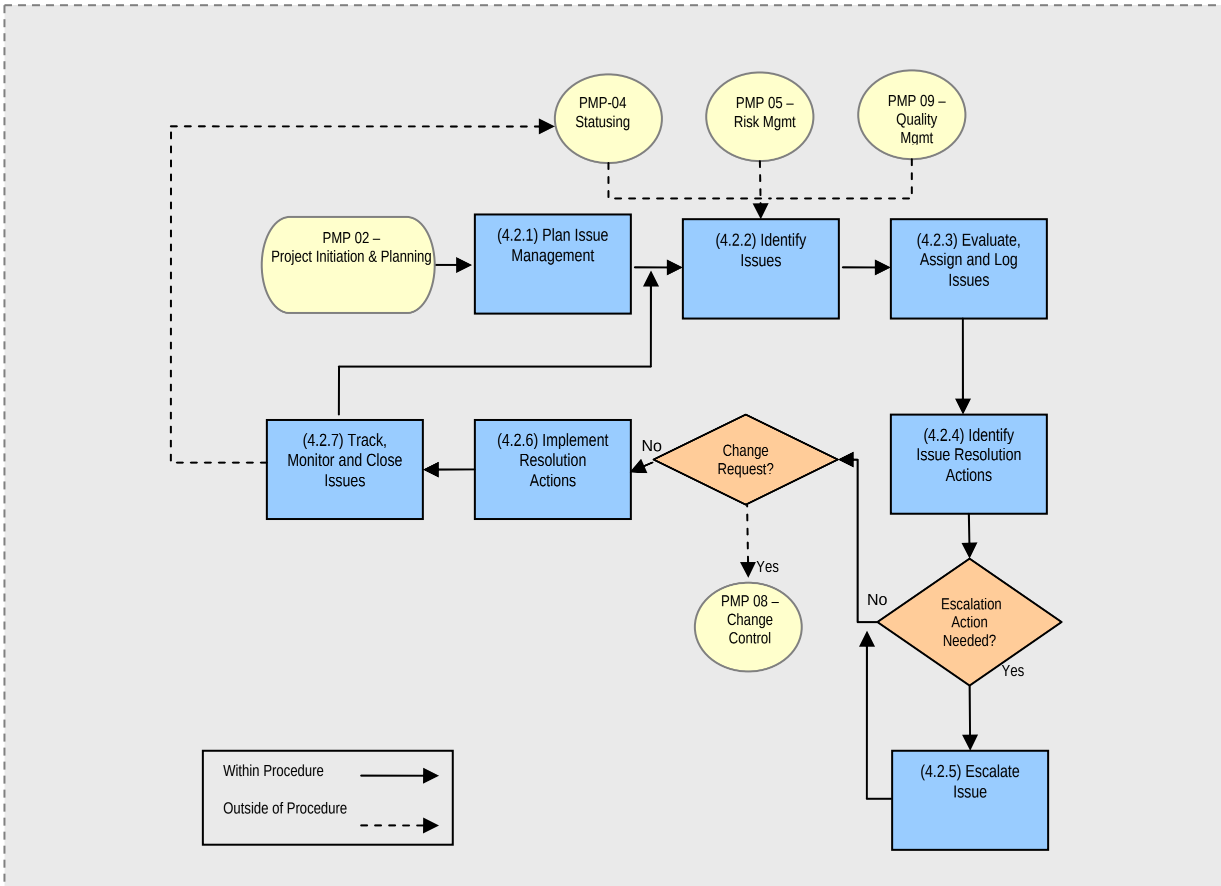

Figure 6-1. Issue Management Process

6.2 Checklist for Issue Management

The following table provides a checklist for the key activities associated with each step of this issue management procedure.

Activities	Responsible Parties
4.2.1 Plan Issue Management	

Activities	Responsible Parties
❑ The scope of the issue management process is defined and documented in the Project Management Plan ❑ The issue management process and details are defined and documented in the Project Management Plan ❑ An issue escalation process is defined ❑ Roles and responsibilities for the issue management process are defined ❑ Issue management process is communicated to the project team	Project Manager/Project Team Leads
❑ The Issue Coordinator is assigned ❑ The Issue Form and Issue Log are designed and locally available to project team members	Project Manager
4.2.2 Identify Issues	
❑ Issue is identified ❑ Issue is documented using the Issue Form ❑ All applicable fields on the Issue Form are complete and accurate ❑ A 'Date Resolution Needed' is determined, if known ❑ Issue is routed to the Issue Coordinator	Issue Originator
4.2.3 Evaluate, Assign and Log Issues	
❑ Issue is reviewed based on subject matter and severity ❑ Issue is routed to Project Manager or Project Team Lead for assignment	Issue Coordinator
❑ Issue is reviewed ❑ Issue is assigned to appropriate team member for resolution ❑ Issue Form is forwarded to assigned Issue Owner	Project Manager/Project Team Leads
❑ Issue is reviewed and assigned a Priority rating	Issue Owner
❑ Issue is reviewed by Issue Coordinator and checked for duplication ❑ Issue number is assigned to issue ❑ Issue is entered into Issue Log	Issue Coordinator
4.2.4 Identify Issue Resolution Actions	
❑ Resolution action is identified ❑ Next course of action (escalation, change control etc.) is determined ❑ Resolution is analyzed for re-planning implications, if any ❑ Resolution action is routed through change control process, as required ❑ Resolution action is communicated to Issue Coordinator/Project Team	Issue Owner
❑ Resolution action is approved to implement	Project Manager, Change Control Board as required
4.2.5 Escalate Issue	
❑ Issue is escalated as needed	Project Team Lead, Project Manager
❑ Resolution action proceeds once escalation action is addressed	Project Manager, Project Sponsor, Senior Management
4.2.6 Implement Resolution Actions	
❑ Resolution action is implemented	Issue Owner, Project Team Members (as needed)
4.2.7 Track, Monitor and Close Issues	
❑ Regular opportunities to review and discuss Issue Log with Project Team are provided	Project Manager

Activities	Responsible Parties
❑ Status of resolution action is reported	Issue Owner
❑ Resolution action is identified as successful in addressing issue	Issue Owner, Project Manager
❑ Issue Log is updated regularly ❑ Issue Log is distributed to Project Team in advance of statusing activities ❑ Issue closed and status updated	Issue Coordinator

7. Requirements Management Procedure OETI-PMP-07

This section defines the process by which staff within the EPA's OETI performs requirements management (RM).

7.1 Process Flow Diagram

Figure 7-1 describes the process for RM, which originates with the development of the Requirements Management Plan. The RM process is similar for both new and maintenance tasks. For new tasks, the project should closely follow the RM process to ensure that the requirements baseline is adequate to serve as the basis for the work performed during the project's life cycle. For maintenance updates to work-products, even if the project requirements are already documented, the project should carefully consider each step in the process, even if it does not require significant action.

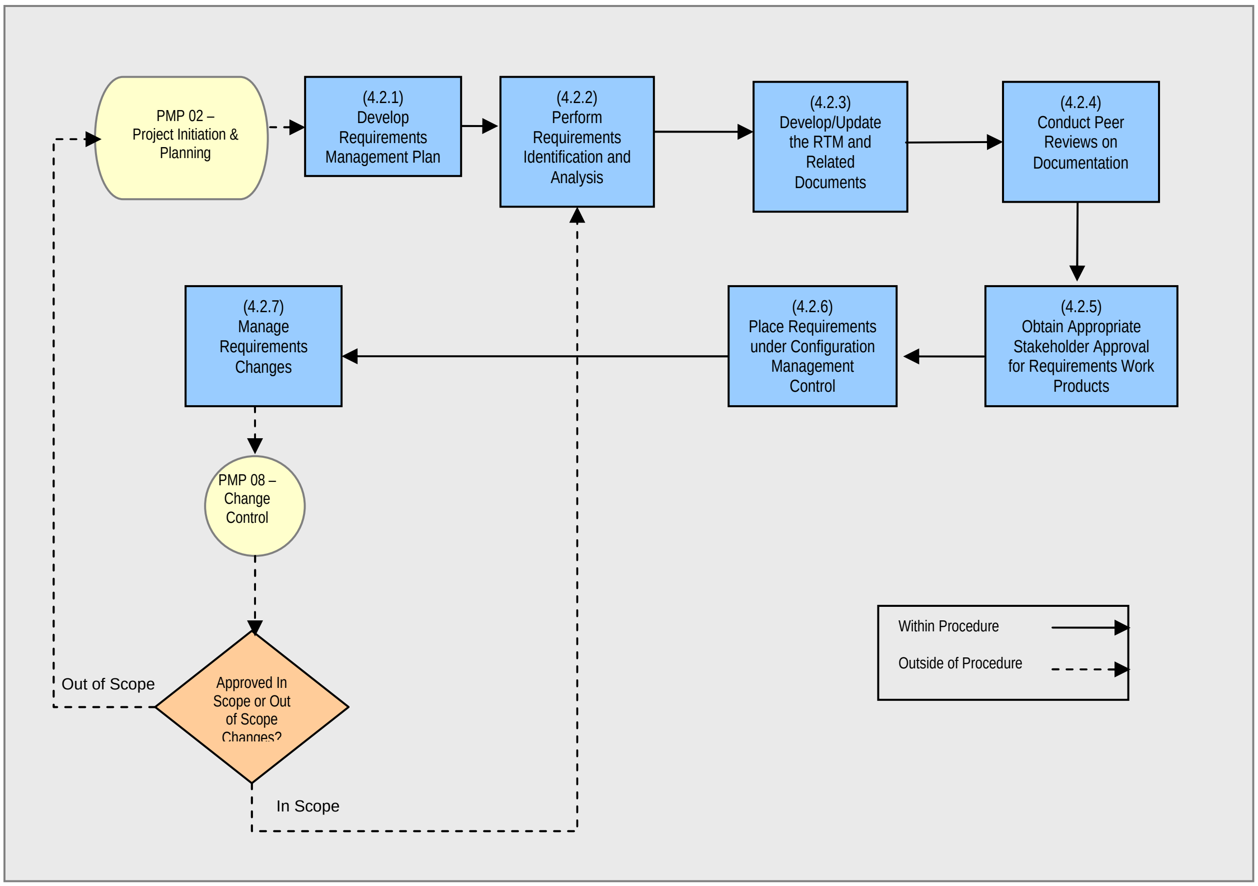

Figure 7-1. Requirements Management Process

7.2 Checklist for Requirements Management

The following provides a checklist for the key activities associated with each step of this RM procedure.

Activities	Responsible Parties
4.2.1 Develop Requirements Management Plan	

Activities	Responsible Parties
❑ Description of how requirements artifacts (requirements documents, Use Cases, Concept of Operations, etc.) will be developed and managed during the project life cycle is provided ❑ Description of how requirement identification and analysis will be accomplished (e.g., sources, types, attributes, techniques, tools, etc.) is provided ❑ The method by which bi-directional traceability will be established and maintained is described ❑ RM template is leveraged/referenced	Requirements Manager
❑ Tasks and estimates are planned for the requirements phase ❑ Business objectives, scope, and constraints are described for the project ❑ Assumptions, known risks, and mitigation strategies are identified and addressed, if appropriate	Project Manager, Requirements Manager
4.2.2 Perform Requirements Identification and Analysis	
❑ Requirements gathering, identification, and analysis activities are done according to what is stated in the Requirements Management Plan ❑ Documentation is created and/or updated according to Requirements Management Plan	Requirements Manager
❑ Requirements are identified, gathered, defined, and validated with the appropriate stakeholders to ensure they are clear and concise, measurable, achievable, realistic, consistent with the other requirements, and testable ❑ Requirements are categorized and, for IT projects, are allocated to systems (e.g., functional, interface, performance), and non-systems components (e.g., manual component, policy)	Requirements Manager, Project Team
4.2.3 Develop/Update the RTM and Related Documents	
❑ The RTM is developed/updated with the newly created/modified requirements ❑ Related requirements documents are developed/updated with the newly created/modified requirements and detailed descriptions, including any additional analysis	Requirements Manager
❑ Traceability is conducted throughout the life cycle	Requirements Manager, Project Team Leads, Project Team
❑ Requirements documents contain enough information for the stakeholder to understand, approve, or reject the documented requirements ❑ Requirements documents are developed sufficiently to meet the project's specific needs	Requirements Manager, Project Manager, Project Team Leads
4.2.4 Conduct Peer Reviews on Documentation	
❑ Requirements documents/artifacts (e.g., RTM) are reviewed and modified as necessary before being sharing with project stakeholders	Requirements Manager, Project Team Leads, Project Team, QA Manager, Project Manager, Test Team
4.2.5 Obtain Appropriate Stakeholder Approval for Requirements Work Products	
❑ Approval solicitation method is employed (i.e., CCB, facilitated walk through, etc.) ❑ Stakeholder approval is obtained for requirements work products (RTM and Requirements Document, in most cases)	Project Stakeholders
4.2.6 Place Requirements under Configuration Management Control	
❑ Approved requirements work products are placed under Configuration Management	Configuration Management

Activities	Responsible Parties
control	Team, Requirements Manager
4.2.7 Manage Requirements Changes	
❑ Changes to the requirements baseline have gone through the Change Control process (Refer to O*ETI-PMP 08 Change Control Procedure* for a description of change control)	Project Manager, Project Stakeholders, Requirements Manager, Configuration Management Team
❑ Requirements documentation (e.g., RTM) is updated to reflect approved changes	Requirements Manager

8. Change Control Procedure OETI-PMP-08

This section defines the process by which staff within the EPA's OETI performs change control activities.

8.1 Process Flow Diagram

Figure 8-1 identifies the process flow for change control.

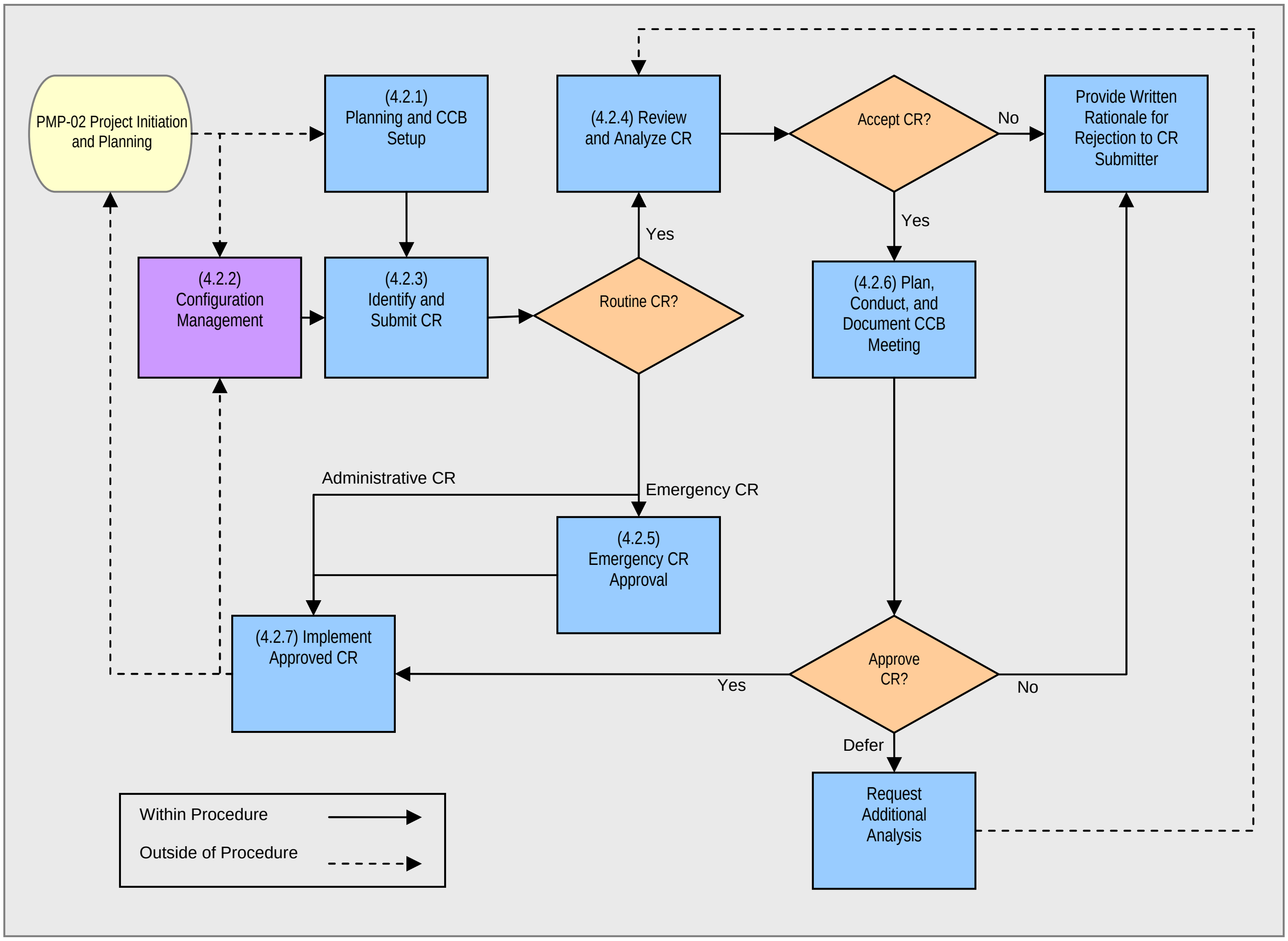

Figure 8-1. Change Control Process Flow

8.2 Checklist for Change Control

The following provides a checklist for the key activities associated with each step of this change control procedure.

Activities	Responsible Parties
4.2.1 Planning and CCB Setup	
❑ Scope and extent of change control process for the project are determined ❑ Change control activities are reflected in the project schedule and	Project Manager

Activities	Responsible Parties
resources are assigned ❑ For projects requiring formal change control, a Change Control Board Charter is developed ❑ CCB Administrator role is assigned (if applicable) ❑ Members of CCB are invited or assigned for the project (if applicable)	
❑ Change control process for project is documented in the Project Management Plan and/or the CCB Charter	Project Manager/Project Team Lead
❑ Technical infrastructure (for communication, tracking, documentation) is adequate and available to support the CCB process	CCB Administrator
❑ Configuration Management Plan is reviewed and approved, if applicable and as developed	CCB
4.2.2 Configuration Management	
❑ Configuration management planning is conducted	Project Manager, Configuration Manager, Project Team Leads
❑ Configuration management decisions and processes are documented in the Configuration Management Plan	Configuration Manager
❑ Configuration Management Plan is reviewed and approved, if applicable and as developed	Project Manager, Configuration Manager
❑ Configuration management processes are implemented	Configuration Manager
❑ Configuration management baseline is defined	Configuration Manager
❑ Configuration CR(s) are submitted	Configuration Manager
4.2.3 Identify and Submit Change Request	
❑ CR(s) are submitted	CR Submitter
❑ CR(s) are logged into the project's change control log or tracking mechanism ❑ CR(s) are routed accordingly	CCB Administrator
❑ CR includes mandatory information as specified in section 4.2.2, as well as the following information, as appropriate: □ Priority (proposed for CCB consideration) □ Supporting documentation □ Description includes justification and/or rationale for change □ Impact to cost, schedule, and quality □ Cost-benefit analysis □ An assessment of alternatives □ Risk assessment	CR Submitter, CCB Administrator
❑ Direct correspondence between CCB Chair and CCB Administrator is occurring to ensure that all decisions are	CCB Administrator, CCB Chair

Activities	Responsible Parties
documented appropriately	
4.2.4 Review and Analyze CR	
❑ Clarification is sought from CR submitter if needed to clear up ambiguities ❑ If a determination has been made that it is not justified, termination of CR is documented in the change control tracking mechanism and CR Submitter is notified of CR termination	CCB Administrator
❑ CR(s) are analyzed and the following information is documented to assess the magnitude of the impact of the CRs: □ Risks □ Dependencies □ Assumptions □ Decisions	CCB Administrator, SMEs
❑ Impacts to the budget and schedule associated with implementing the change are analyzed and documented	CCB Administrator, SMEs, Project Manager
❑ CCB members are notified of scheduled CCB meetings	CCB Chair
4.2.5 Emergency CR Approval	
❑ Emergency CR(s) are routed to the CCB Chair for expedited approval ❑ Emergency CR(s) approval and implementation information is documented	CCB Administrator
❑ CR(s) are reviewed for completeness and returned to CR Submitter if more information is needed	CCB Chair
❑ Meeting is convened (as needed) for review and approval	CCB Chair, Project Manager, Project Sponsor
❑ CR(s) are approved and routed for implementation	CCB Chair, Project Manager, Project Sponsor, Project Team Lead(s)
4.2.6 Plan, Conduct, and Document CCB Meeting	
❑ Logistics are planned for the CCB Meeting, including date, time and location ❑ Meeting Minutes are prepared and distributed	CCB Administrator, CCB Chair
❑ Proposed CRs and any accompanying analysis are sent to the CCB for review prior to the meeting ❑ Agenda is prepared ❑ Action Items are identified and documented ❑ CR status is updated in the CR tracking mechanism ❑ Notified the CR Submitter and appropriate project management team and contractor project staff in writing of the disposition of the	CCB Administrator

CR (approved, rejected, or deferred)	
❑ A quorum is present at each vote	CCB Chair
❑ The following objectives are addressed at the CCB meeting: □ New CRs reviewed □ CRs voted upon, with an outcome of approve, reject, or defer □ CRs prioritized and assigned □ Existing CRs reprioritized as needed	CCB Chair, CCB members
4.2.7 Implement Approved CR	
❑ Approved Routine CR(s) are communicated to responsible parties (i.e., Team Leads) for implementation ❑ Project re-planning activities are initiated based on required change(s), referencing PMP-02 procedure ❑ Required changes/baselines are implemented	Project Manager
❑ Administrative CR(s) are implemented	Project Team, others as needed
❑ Impact is reviewed based on affected areas of the project, resulting from initial re-planning activities ❑ Project documents are updated if affected by changes	Project Manager, Team Leads, others as needed

9. Quality Management Procedure OETI-PMP-09

This section defines the process by which staff within the EPA's OETI performs quality management activities.

9.1 Process Flow Diagram

Figure 9-1 depicts the process flow for the quality management procedure. This process originates with the definition of quality standards defined during project planning activities (see *PMP-02 Project Initiation and Planning Procedure*). The procedure may also be triggered by risk mitigation plans that impact existing or require new quality assurance activities. Finally, if contractor support is used, the contract terms and performance criteria are inputs to the quality management process. The procedure continues through quality planning, collection of quality metrics, evaluation, and implementation of necessary process improvements.

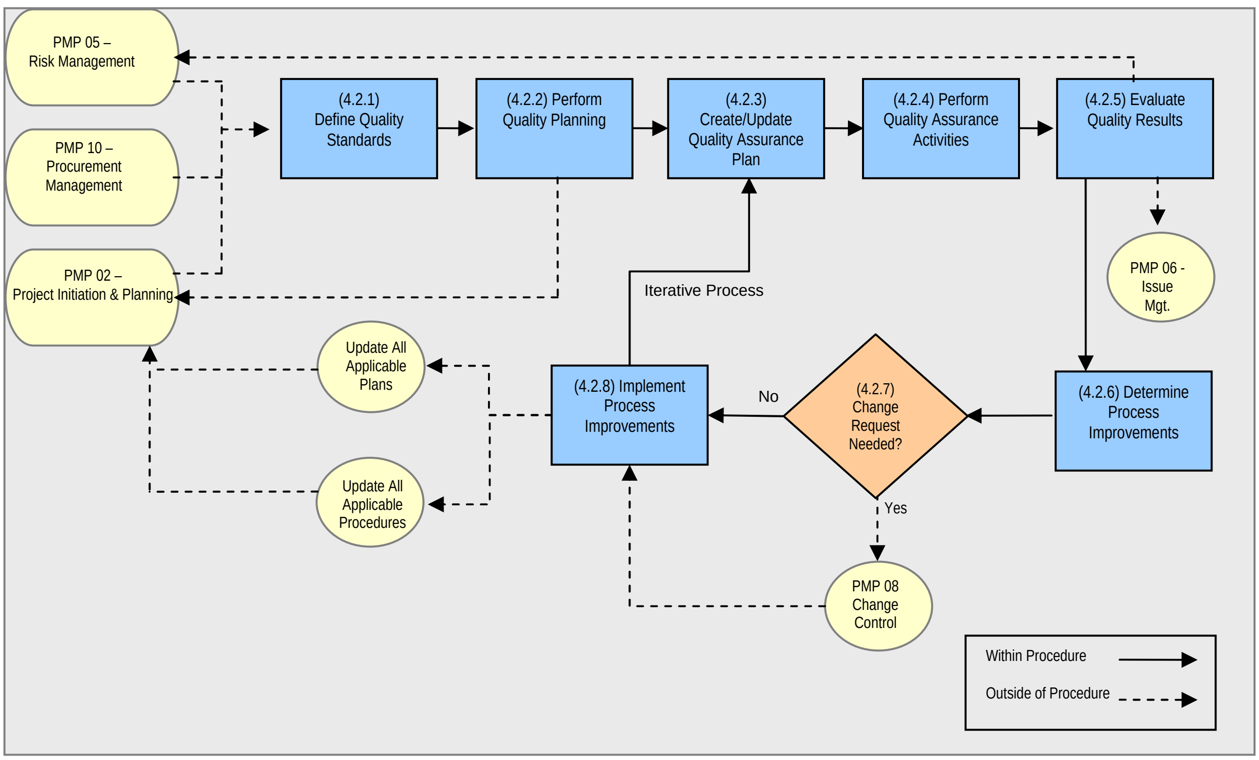

Figure 9-1. Quality Management Process Flow

9.2 Checklist for Quality Management

The following provides a checklist for the key activities associated with each step of this quality management procedure.

Activities	Responsible Parties
4.2.1 Define Quality Standards	
❑ The role of Quality Manager is assigned	Project Manager
❑ External quality requirements for the project are reviewed	Quality Manager/Project Manager

Activities	Responsible Parties
❑ The quality standards for the project are defined ❑ Implications of the quality standards on the type of quality assurance activities that should be implemented for the project are reviewed	
4.2.2 Perform Quality Planning	
❑ Roles and responsibilities for quality assurance activities are defined ❑ A schedule for quality assurance activities is defined ❑ Quality assurance activities are defined for the project based on project size, scope and complexity, and defined quality standards ❑ Quality metrics are defined specifically for the project ❑ A process for capturing and documenting quality metrics are defined ❑ Communication activities for providing quality assurance feedback and guidance within the project and across the organization are defined ❑ Reporting mechanisms for quality assurance activities are defined ❑ A process for creating and implementing Corrective Action Plans (CAPs) is defined ❑ A process for escalating and resolving quality issues is defined	Quality Manager/Project Manager/Project Team Lead/Project Team Members
❑ Quality training requirements for team members are defined	Quality Manager
❑ Quality assurance activities are incorporated into the project schedule	Quality Manager/Project Manager
4.2.3 Create/Update Quality Assurance Plan	
❑ Decisions made during quality planning are documented and incorporated in the Quality Assurance Plan ❑ The Quality Assurance Plan is communicated to Project Team Leads and project team members (if applicable)	Quality Manager
❑ The Quality Assurance Plan is consistent with all other project plans in terms of scope and approach ❑ The Quality Assurance Plan is completed, reviewed, and approved by project management	Quality Manager/Project Manager
4.2.4 Perform Quality Assurance Activities	
❑ Quality training is has been delivered to project resources as required	Project Team Leads
❑ Quality Assurance activities are conducted as defined in Quality Assurance Plan and at the intervals and/or scheduled dates defined in the project schedule ❑ The results of the quality assurance activities are documented as defined in the Quality Assurance Plan	Quality Manager
4.2.5 Evaluate Quality Results	
❑ Report formats are defined ❑ Quality Assurance results are communicated to the appropriate Project Team Leads or team members	Quality Manager
❑ Quality Assurance results are reviewed as defined in Quality Assurance Plan and at the intervals and/or scheduled dates defined in the project schedule	Quality Manager/Project Manager
❑ Evidence of quality issues is analyzed to determine impact and scope of the	Quality Manager/Project

Activities	Responsible Parties
problem(s)	Manager/Project Team Leads
4.2.6 Determine Process Improvements	
❑ Quality results are reviewed by appropriate team members and necessary process improvement options are evaluated ❑ Process improvement recommendations are reviewed and prioritized as needed	Quality Manager/Project Manager/Project Team Leads
❑ Corrective Action Plans (CAP)s are developed for implementation of process improvements	Project Manager
❑ Impact (cost, schedule, resources) of each process improvement is analyzed and documented	Quality Manager
4.2.7 Change Request Needed?	
❑ The proposed process improvement is submitted as a change request if there are measurable cost, schedule and resource impacts ❑ Process improvements not requiring measurable cost, schedule, or resources change are scheduled for implementation	Quality Manager
4.2.8 Implement Process Improvements	
❑ Process improvements not requiring measurable cost, change, and resources are implemented by working with appropriate Project Team Leads and/or team members	Quality Manager/Project Manager/Project Team Leads
❑ Approved change requests for process improvements are planned and scheduled for implementation ❑ The Project Management Plan, Quality Assurance Plan, and any other impacted subsidiary plans are updated to reflect the changes resulting from implementation of process improvement(s) ❑ Implemented process improvement actions are measured and evaluated over time to determine success of the improvement(s)	Quality Manager/Project Manager

10. Procurement Management Procedure OETI-PMP-10

This section defines the process by which staff within the EPA's OETI procurement management activities.

10.1 Process Flow Diagram

Figure 10-1 identifies the process for procurement management. This process originates with determination of a requirement to be placed under contract during the *PMP-02 Project Initiation and Planning Procedure*. Procurement activities begin when a CO and COR are assigned and continue through development of the acquisition strategy and relevant procurement documentation, solicitation of proposals, selection of sources, contract award, contract administration, and closeout of the contract. This figure represents the procurement management activities associated with OETI project staff. It does not include the functions performed by the EPA contracting office.

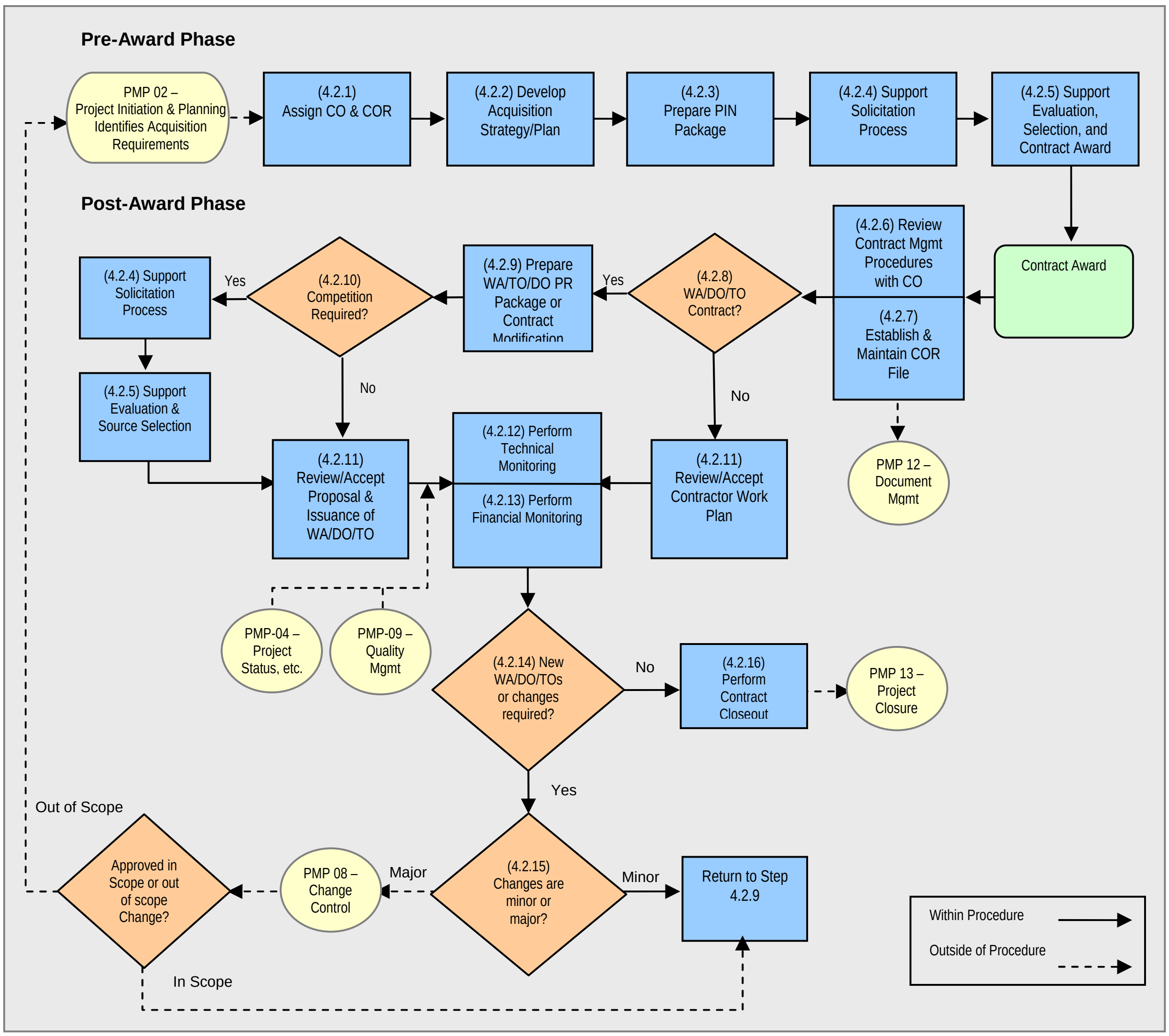

Figure 10-1. Procurement Management Process

10.2 Checklist for Procurement Management

The following provides a checklist for the key activities associated with each step of this procurement management procedure.

Activities	Responsible Parties
4.2.1 Assign Contracting Officer and Contracting Officer's Representative	
❑ Contracting office contacted and CO assigned	Project Officer and/or Project Manager
❑ Met with the assigned CO to determine if the action warrants delegation of a COR	Project Officer and/or Project Manager, CO
❑ EPA Form 1900-65, Nomination of Contracting Officer's Representative, submitted to the CO	Project Officer and/or Project Manager
❑ COR delegation by the CO received	Project Officer/Contract-Level COR and/or Project Manager; CO
❑ Government Ethics Form 450, *Confidential Financial Disclosure Report,* submitted to designated ethics official by each COR	Contract-Level COR
❑ COR Training (initial or recertification) completed (within last three years) and 40 CLPs obtained (within two year cycle) for each COR	Contract-Level COR
4.2.2 Develop Acquisition Strategy/Plan	
❑ Procurement options for satisfying requirements discussed with CO: □ Existing EPA contract □ GSA Multiple Award Schedule Contracts □ EPA BPAs □ Government-wide Acquisition Contracts □ Multi-agency Contracts □ New procurement	Contract-Level COR and CO
❑ Research and evaluation on each relevant procurement option completed	Contract-Level COR and CO
❑ The acquisition strategy to include procurement methodology finalized with CO	Contract-Level COR, Project Manager, and CO
❑ Acquisition Plan completed and approved	Contract-Level COR, Project Manager, and CO
4.2.3 Prepare PIN Package	
❑ PIN package requirements established with CO	Contract-Level COR and CO
❑ Procurement Request (EPA Form 1900-8) package completed with the following relevant documentation: □ PIN Form □ Form 1900-65A, Nomination of COR □ Copy of the Certificate of Training □ PIN Questionnaire (to be completed during meeting with CO) □ Acquisition Plan	Contract-Level COR, Project Manager, and CO

☐ SOW or SOO ☐ IGCE ☐ Budget Information ☐ Market Survey Information ☐ Evaluation Criteria ☐ List of Deliverables ☐ Labor Categories ☐ Quality Assurance Surveillance Plan (QASP) ☐ Quality Assurance Review Forms ☐ Information Technology Information ☐ Organizational Conflict of Interest Information ☐ Non-duplication of Effort Statement (required by some contracting offices) ☐ Justification for Other than Full and Open	
❑ Determined and obtained necessary approvals and submitted PIN package to CO	Contract-Level COR and Project Manager
❑ PIN Package approved by OAM	Contract-Level COR, Project Manager, CO

4.2.4 Support Solicitation Process	
❑ Supported CO in development of draft and final solicitation	Contract-Level COR
❑ Supported industry day and/or pre-proposal conference	Contract-Level COR
❑ Reviewed and developed responses to vendor questions on solicitation as directed by CO	Contract-Level COR

4.2.5 Support Evaluation, Selection, and Contract Award	
❑ Evaluation team members identified	Project Manager or Contract-Level COR, or WA/DO/TO COR
❑ Evaluation team members fully understand their role and responsibilities, the evaluation process methodology, and requirements of the procurement	Eval Team Member, CO
❑ Evaluation team members completed review of proposals and documented findings and clarifications	Eval Team Member, CO
❑ Contract or WA/DO/TO negotiated and awarded	CO, Eval Team Member (as required)

4.2.6 Review Contract Management Procedures with Contracting Officer	
❑ The contract management procedures (including COR structure and roles and responsibilities) pertaining to specific contract finalized with the CO	Project Manager, Contract-Level COR, CO
❑ *EPA Form 1900-65, Nomination of Contracting Officer's Representatives*, submitted to the CO for each COR	COR Supervisors
❑ COR Delegation by the CO for each COR received	CO, all CORs
❑ Government Ethics Form 450, Confidential Financial Disclosure Report submitted to designated ethics Official by each COR	All CORs

❑ COR Training (initial or recertification) completed (within last three years) and 40 CLPs obtained (within two year cycle) for each COR	All CORs

4.2.7 Establish and Maintain COR Contract File	
❑ Strategy for maintaining COR Contract File established	Contract-Level COR and/or DO/TO/WA COR
❑ COR Contract File is updated on ongoing basis	Contract-Level COR and DO/TO/WA COR

4.2.9 Prepare WA/DO/TO Procurement Request Package or Contract Modification	
❑ PR package requirements established with CO	Contract-Level COR, CO
❑ PR (EPA Form 1900-8) package completed with the following relevant documentation: □ SOW or SOO □ IGCE □ QASP (if applicable) □ Cover Sheet or Memo WA, TO, or DO Form □ Contracting Officer's Representative Nomination Form (EPA Form 1900-65) □ Copy of the Certificate of Training □ Quality Assurance Review Form □ Non-duplication of Effort Statement (required by some COs) □ SIO approval for IT services (as needed) □ Intra-agency funding request and approval (as needed) □ Government-Furnished Property worksheet □ Justification and Approval for Sensitive and/or Vulnerable Services (as needed)	DO/TO/WA COR or Contract-Level COR, Project Manager, and CO
❑ Approvals on PR package and Funding Authorization obtained	DO/TO/WA COR or Contract-Level COR, Project Manager
❑ PR package submitted to CO	Contract-Level COR or DO/TO/WA COR, Project Manager, CO
❑ Approval of PR package by CO obtained	Contract-Level COR, CO
❑ TO, DO, WA or contract modification issued by CO	CO, All CORs

4.2.11 Review/Approve Proposal or Work Plan	
❑ Contractor's Technical/Mgmt/Staffing/Cost Plan and/or Proposal fully reviewed and findings documented ❑ Appropriate personnel for review (with appropriate mix of expertise) identified and briefed on project ❑ Mechanism for obtaining and consolidating inputs has developed ❑ Feedback obtained, consolidated, and reviewed ❑ Recommendation developed.	DO/TO/WA COR or Contract-Level COR, Project Manager and/or Team Leads
❑ Recommendation to Contract-Level COR submitted (if applicable)	DO/TO/WA COR or Contract-Level

	COR

❑ Recommendation to CO submitted	DO/TO/WA COR or Contract-Level COR
❑ Comments provided to contractor; discussions, clarifications, negotiations with Contractor conducted as required	CO, DO/TO/WA COR or Contract-Level COR

4.2.12 Perform Technical Monitoring	
❑ Memorandum for contract file prepared for documenting review of plan/proposal and final resolution	DO/TO/WA COR or Contract-Level COR
❑ Thorough review of basic contract and contractor proposal completed	All CORs, CO
❑ Framework for conducting technical monitoring established; methodology has been established for: □ Tracking submission and acceptance of deliverables for each task against schedule requirements □ Obtaining and consolidating feedback on each deliverable, contractor proposal, and overall Contractor performance □ Conducting testing, inspection, and acceptance of requirements (if applicable) □ Conducting In-Progress Reviews and other performance reviews □ Conducting assessments against performance-based metrics/SLAs in accordance with QASP (applicable under a performance-based contract) □ Providing appropriate dialog with Ccntractor (e.g., conducting regular status meetings) □ Updating tracking mechanisms on a regular basis	DO/TO/WA COR and Contract-Level COR
❑ Status reports submitted and reviewed on a regular basis	All CORs
❑ Progress against schedule reviewed on an ongoing basis	All CORs
❑ Costs against work plan and schedule are tracked on an ongoing basis	All CORs
❑ Status meetings are conducted with the contractor on a regular basis	All CORs
❑ Thorough review of each deliverable completed: □ Feedback obtained and consolidated in accordance with framework established above □ Recommendations on acceptance or rejection made to Contract-Level COR (as appropriate) or CO □ Feedback provided to Contractor on deliverable □ Review findings and final results documented in contract file	DO/TO/WA COR or Contract-Level COR
❑ Performance Reviews are being performed in accordance with contract and QASP (if applicable)	DO/TO/WA COR or Contract-Level COR
❑ Test, inspection, and acceptance is being performed in accordance with contract	DO/TO/WA COR or Contract-Level

and framework established above (if required under the contract)	COR

4.2.13 Perform Financial Monitoring	
❑ Framework for evaluating and approving invoices developed: □ Developed checklist appropriate for invoice review □ Developed invoice tracking mechanism (e.g., excel spreadsheet)	DO/TO/WA COR and Contract-Level COR
❑ Invoices are being reviewed and approved in a timely manner	DO/TO/WA COR or Contract-Level COR
❑ Issues identified have been raised to Contract-Level COR or CO and have been addresses with contractor	DO/TO/WA COR or Contract-Level COR

4.2.14 Conduct WA/DO/TO or Contract Closeout	
❑ Certified that all technical requirements of the contract satisfied, that the products or services have been satisfactorily completed within the contract amount, and that the final report and all deliverables received and accepted	DO/TO/WA COR or Contract-Level COR
❑ Completed and submitted contractor Past Performance Evaluation	DO/TO/WA COR or Contract-Level COR

11. Organizational Change Management Procedure OETI-PMP-11

This section defines the process by which staff within the EPA's OETI performs Organizational Change Management (OCM) activities.

11.1 Process Flow Diagram

Figure 11-1 identifies the process for OCM.

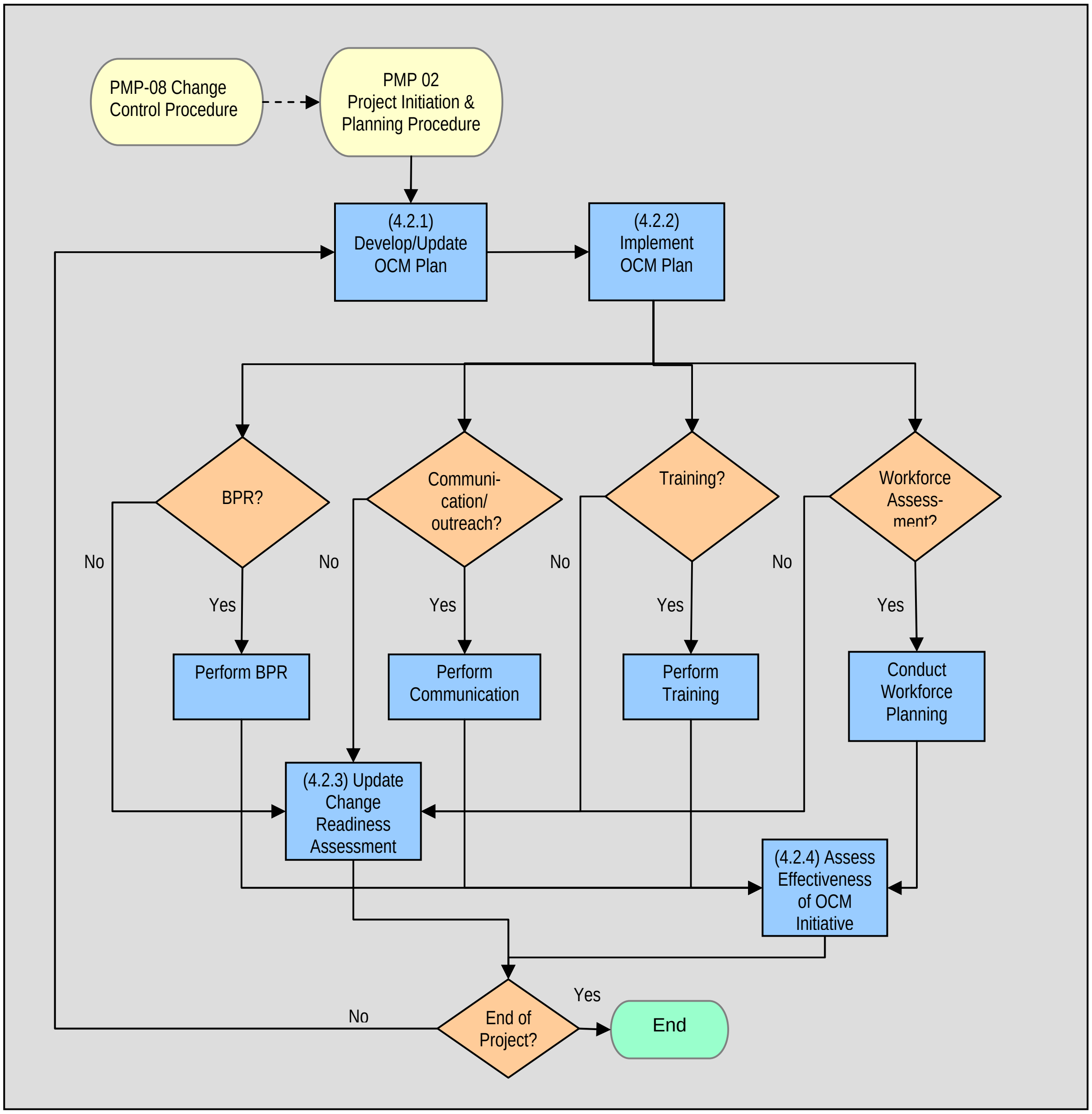

Figure 11-1. Organizational Change Management Process

11.2 Checklist for Organizational Change Management Procedures

The following provides a checklist for the key activities associated with each step of this change management procedure.

Activities	Responsible Parties
4.2.1 Develop/Update OCM Plan	
❑ OCM Lead is assigned	Project Manager
❑ OCM planning is performed	Project Manager, OCM Lead, Project Team Leads
❑ OCM Plan is developed	OCM Lead
❑ OCM Plan is reviewed and approved	Project Sponsor, Project Manager
4.2.2 Implement OCM Plan	
❑ Initial change assessment is conducted	OCM Lead, OCM Support Team
❑ Applicability of BPR for the project is determined ❑ Applicability of a Communication Plan for the project is determined ❑ Applicability of training for the project is determined ❑ Applicability of workforce planning for the project is determined ❑ Project Team Leads are assigned for applicable OCM project activities	Project Manager, OCM Lead, OCM Support Team
❑ OCM performance measurement techniques are implemented ❑ Approaches have been reviewed by appropriate leadership, and mapped against other project milestones	OCM Lead, OCM Support Team
4.2.3 Update Change Readiness Assessment	
❑ Comparative analysis with initial Change Assessment is conducted ❑ Gaps are assessed between desired state and current state ❑ Additional OCM activities are defined as a result of the analysis (as required) ❑ Change readiness assessment has been conducted	OCM Lead/OCM Support Team
4.2.4 Assess Effectiveness of OCM Initiatives	
❑ Strategy for monitoring and measuring progress/success is defined ❑ Effectiveness of OCM initiatives is assessed ❑ OCM activities are added or refined as necessary	OCM Lead/OCM Support Team

12. Document Management Procedure OETI-PMP-12

This section defines the process by which staff within the EPA's OETI performs document management activities.

12.1 Process Flow Diagram

Figure 12-1 depicts the process for performing document management.

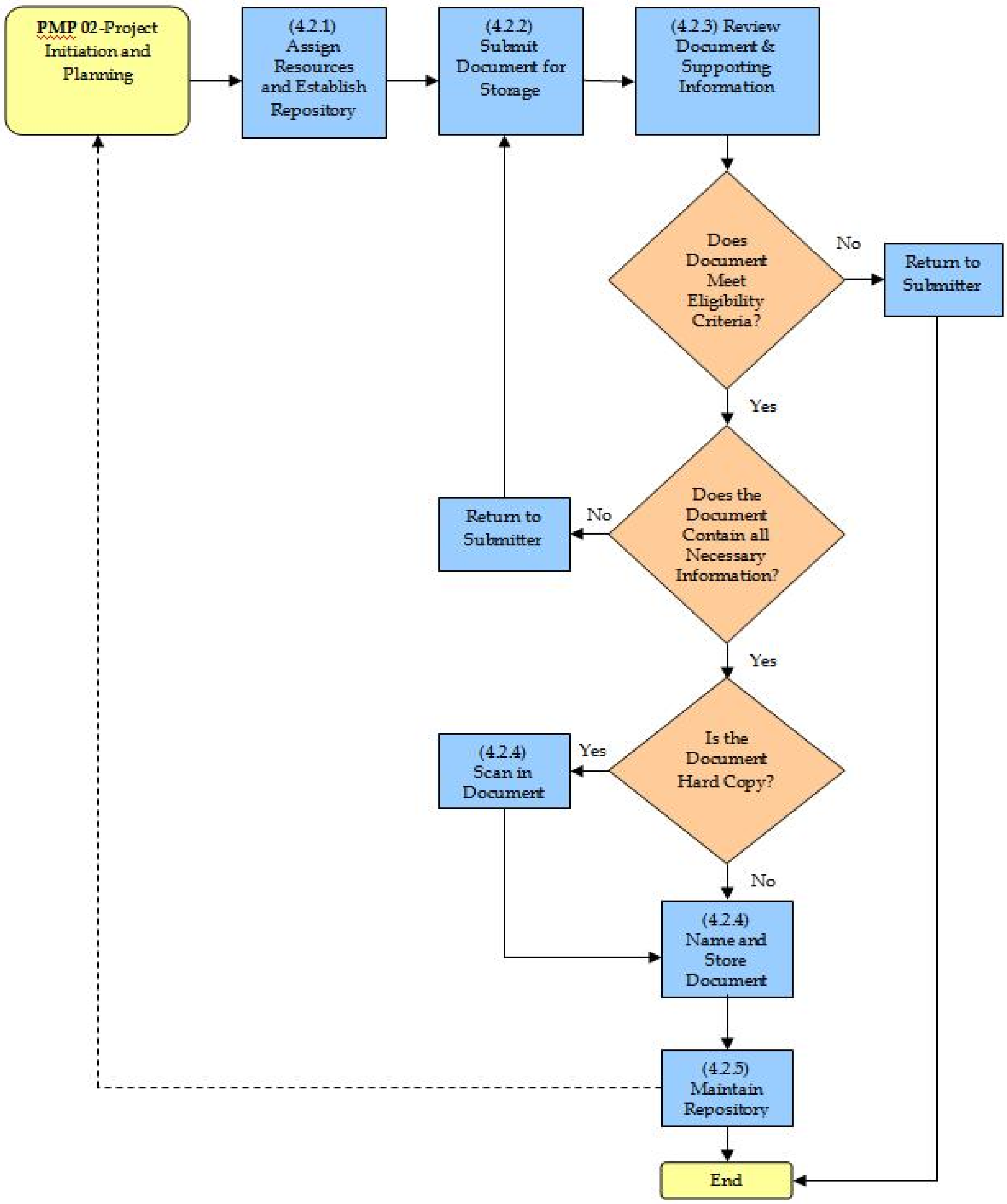

Figure 12-1. Document Management Process Flow

12.2 Checklist for Document Management

The following provides a checklist for the key activities associated with each step of this document management procedure.

Activities	Responsible Parties
4.2.1 Assign Resources and Establish Repository	
☐ Document Coordinator is assigned ☐ Document Filing Specialist is assigned ☐ Folder structure and security are approved	Project Manager
☐ Folder structure is created ☐ Folder security is defined	Document Coordinator
☐ Filing cabinet is set up to maintain required hard copy documents	Document Filing Specialist
4.2.2 Submit Document for Storage	
☐ Document Submission Form is completed and submitted to Document Coordinator ☐ Electronic or hard copy documents are transmitted, along with comments collected or addressed in its support, to the Document Coordinator	Submitter
4.2.3 Review Document and Supporting Information	
☐ Document is compared to completed Document Submission Form to determine whether it qualifies for storage ☐ Notification of document's ineligibility for storage is sent to Submitter, if necessary ☐ Storage requirement information is reviewed and found complete ☐ Any additional information necessary is obtained from Submitter	Document Coordinator
4.2.4 Name and Store Document	
☐ Appropriate naming conventions are applied ☐ Document Submission Form is updated ☐ Document is loaded into the electronic document repository ☐ Email indicating completion of process and location of document in the appropriate repository or repositories is sent to Submitter	Document Coordinator
☐ Eligible documents provided in hard copy are scanned and provided in an electronic format ☐ Signed hard copy documents are filed in filing cabinet with Document Submission Form	Document Filing Specialist
4.2.5 Maintain Repository	
☐ Existing folder structure and metadata are reviewed against newly submitted documents and any necessary changes are made ☐ Basic maintenance for the automated document management tool is performed	Document Coordinator
☐ Changes are made to the filing cabinet, as necessary	Document Filing Specialist
☐ Updates/changes to criteria, folder structure, metadata or security are approved	Project Manager

13. Project Closure Procedure OETI-PMP-13

This section defines the process by which staff within the EPA's OETI performs project closure activities.

13.1 Process Flow Diagram

Figure 13-1 identifies the process for project closure, which originates with the development of the project closure procedures.

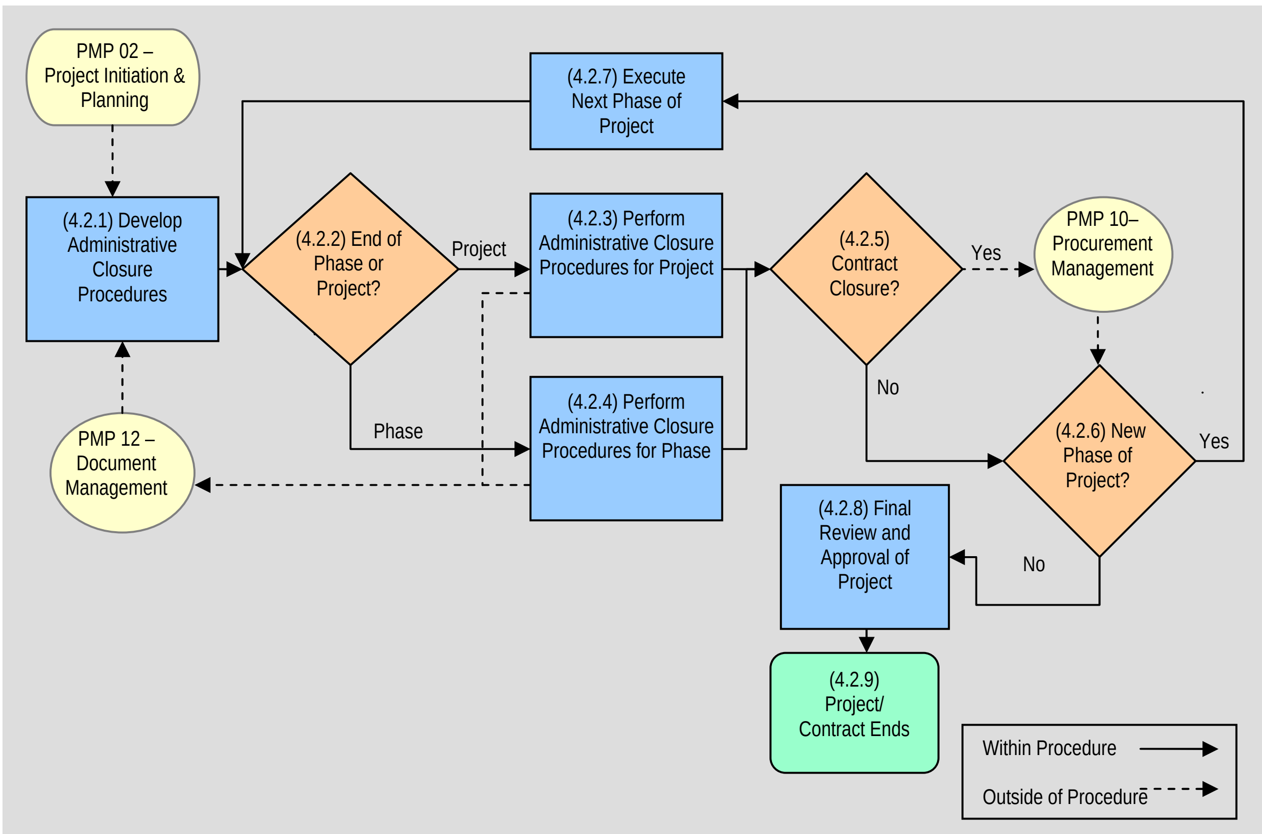

Figure 13-1. Project Closure Process Flow

13.2 Checklist for Project Closure

The following provides a checklist for the key activities associated with each step of this project closure procedure.

Activities	Responsible Parties
4.2.1 Develop Administrative Closure Procedures	

Activities	Responsible Parties

❑ External and internal project closure requirements are identified
❑ Project closure planning is conducted to address the following (as applicable):
    ❑ Roles and responsibilities of project resources
    ❑ Final project approvals, sign-offs
    ❑ Archival of project artifacts and deliverables
    ❑ Lessons learned
    ❑ End of phase requirements
    ❑ Human resources requirements
    ❑ Transition plan requirements
    ❑ Project Close Out Report requirements
    ❑ Physical asset disposal or transfer
❑ Administrative closure procedures are documented, including a transition plan if required
❑ Administrative closure procedures are made consistent with the scope defined in the Project Management Plan
❑ Appropriate closure activities are reflected in the project schedule
	Project Manager/Project Team Leads

❑ Contract closure requirements are identified, if applicable	Project Manager/Project Team Leads/CO/COR
❑ Responsibility for developing administrative closure procedures are assigned ❑ Administrative closure procedures are reviewed and approved	Project Manager
4.2.2 End of a Phase or Project?	
❑ Determination is made whether the end of a phase or end of the project is imminent	Project Manager/Project Team Leads
4.2.3 Perform Administrative Closure Procedures for Project	
❑ Lessons learned are documented ❑ Feedback from team members is solicited for incorporation into the Project Closure Report (if applicable) ❑ For system projects, required OEI SLCM decision papers are prepared and submitted ❑ Human Resource requirements are addressed. Possible items include post-closure project staffing activities for all project resources and delivery of performance feedback ❑ Project artifacts and deliverables are archived ❑ Formal transition of product or project occurred (if applicable) ❑ The project assets (workspace, computers etc.,) are transferred as applicable	Project Manager/Project Team Leads
4.2.4 Perform Administrative Closure Procedures for Phase	
❑ Lessons learned are documented ❑ Human Resource requirements are addressed. Possible items include post-closure	Project Manager/Project Team Leads

	project staffing activities for phase project resources and delivery of performance feedback	
❑	Project artifacts and deliverables are archived	
❑	Formal transition of product or project phase occurred (if applicable)	
❑	As applicable, approval is obtained to move to next phase of project. For system projects, required OEI SLCM decision papers are prepared, submitted and approved	
4.2.5 Contract Closure?		
❑	A determination is made whether contract closure is needed as part of the end of the phase or the end of the project	Project Manager/Project Team Leads/CO/COR
❑	If applicable, contract closure procedures are executed per the requirements defined in the contract, task order, procedures etc., for either the end of the phase or the end of the project *(see the checklist in Appendix B, PMP-10 Procurement Management Procedure)*	Project Manager/Project Team Leads/CO/COR
4.2.7 Execute Next Phase of Project		
❑	If applicable, a new project phase is initiated	Project Manager/Project Team Leads
4.2.8 Final Review and Approval of Project		
❑	Project is reviewed and formally approved.	Project Manager
4.2.9 Project/Contract Ends		
❑	All project closure activities are completed	Project Manager

Acronyms

The following acronyms shown below are referenced in this document.

Abbreviation	Description
CAM	Control Account Manager
CAP	Corrective Action Plan
CCB	Change Control Board
CO	Contracting Officer
COR	Contracting Officer's Representative
CR	Change Request
DO	Delivery Order
EPA	Environmental Protection Agency
EV	Earned Value
IMS	Integrated Master Schedule
OCM	Organizational Change Management
ODC	Other Direct Cost
OEI	Office of Environmental Information
OETI	Office of Enterprise Technology and Innovation
OMB	Office of Management and Business
PM	Project Management
PMI	Project Management Institute
PMP	Project Management Plan
RM	Requirements Management
ROM	Rough Order of Magnitude
SMP	System Management Plan
SPI	Schedule Performance Index
TO	Task Order
WA	Work Assignment